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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

501.43495X00

First Inventor

SHIMADA, AKINOBU

Title

DISK ARRAY APPARATUS AND CONTROL
METHOD FOR DISK ARRAY APPARATUS

Express Mail Label No.

APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification [Total Pages: **49**]
(preferred arrangement set forth below)

-Descriptive title of the invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R & D
-Reference to sequence listing, a table,
or a computer program listing appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description
-Claim(s)
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets: **12**]

5. Oath or Declaration [Total Sheets: _____]

- a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
Named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS Citations
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: **Figs. 1-12, Credit Card Payment Form, Claim
For Priority Letter**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number

020457

OR ☐ Correspondence address below

Name

ANTONELLI, TERRY, STOUT & KRAUS, LLP

Address

City

State

Zip Code

Country

Telephone

(703) 312-6600

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(703) 312-6666

Name (Print/Type)

Carl J. Brundidge

Registration No. (Attorney/Agent)

29,621

Signature

Date

February 5, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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020504

13281 U.S. PTO

16834 U.S. PTO
10/771455

020504

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**FEE TRANSMITTAL
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1,078.00

Complete if Known

| | |
|----------------------|------------------|
| Application Number | |
| Filing Date | February 5, 2004 |
| First Named Inventor | SHIMADA, AKINOBU |
| Examiner Name | |
| Art Unit | |
| Attorney Docket No. | 501.43495X00 |

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money ☐ Other ☐ None
Order☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

01-2135

Antonelli, Terry, Stout & Kraus, LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application.☐ Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Fee Code | Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|----------------------|-----------------------|-----------------------------|-----------------------------|------------------------|----------|
| 1001 | 770 | 2001 | 385 | Utility filing fee | 770.00 |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1)

770.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|-------------------|--------------|
| Total Claims | 21 | -20** = 1 | x 18 = 18.00 |
| Indep. Claims | 2 | -3** = 0 | x 86 = 0 |
| Multiple Dependent | | 290 | = 290.00 |

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------------|-----------------------------|--|
| 1202 | 2202 | 9 Claims in excess of 20 |
| 1201 | 2201 | 43 Independent claims in excess of 3 |
| 1203 | 2203 | 145 Multiple dependent claim, if not paid |
| 1204 | 2204 | 43 ** Reissue independent claims over original patent |
| 1205 | 2205 | 9 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$

308.00

**or number previously paid, if greater; For Reissues, see above.

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------------|-----------------------------|--|----------|
| 1051 | 2051 | 130 65 Surcharge - late filing fee or oath | |
| 1052 | 2052 | 50 25 Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 1053 | 130 130 Non-English specification | |
| 1812 | 1812 | 2,520 2,520 For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 1804 | 920* 920* Requesting publication of SIR prior to Examination action | |
| 1805 | 1805 | 1,840* 1,840* Requesting publication of SIR after Examiner action | |
| 1251 | 2251 | 110 55 Extension for reply within first month | |
| 1252 | 2252 | 420 210 Extension for reply within second month | |
| 1253 | 2253 | 950 475 Extension for reply within third month | |
| 1254 | 2254 | 1,480 740 Extension for reply within fourth month | |
| 1255 | 2255 | 2,010 1,005 Extension for reply within fifth month | |
| 1401 | 2401 | 330 165 Notice of Appeal | |
| 1402 | 2402 | 330 165 Filing a brief in support of an appeal | |
| 1403 | 2403 | 290 145 Request for oral hearing | |
| 1451 | 1451 | 1,510 1,510 Petition to institute a public use proceeding | |
| 1452 | 2452 | 110 55 Petition to revive - unavoidable | |
| 1453 | 2453 | 1,330 665 Petition to revive - unintentional | |
| 1501 | 2501 | 1,330 665 Utility issue fee (or reissue) | |
| 1502 | 2502 | 480 240 Design issue fee | |
| 1503 | 2503 | 640 320 Plant issue fee | |
| 1406 | 1460 | 130 130 Petitions to the Commissioner | |
| 1807 | 1807 | 50 50 Processing fee under 37 CFR 1.17(q) | |
| 1806 | 1806 | 180 180 Submission of Information Disclosure Stmt | |
| 8021 | 8021 | 40 40 Recording each patent assignment per property (times number of properties) | |
| 1809 | 2809 | 770 385 Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 2810 | 770 385 For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 2801 | 770 385 Request for Continued Examination (RCE) | |
| 1802 | 900 | 900 900 Request for expedited examination of a design application | |


Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0.00

SUBMITTED BY**Complete (if applicable)**

| | | | | | |
|-------------------|---|--------------------------------------|------------|-----------|--------------|
| Name (Print/Type) | Carl I. Brungidge | Registration No. (Attorney/Agent) | 29,621 | Telephone | 703-312-6600 |
| Signature |  | Date | 02/05/2004 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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